

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re United States Patent Application of:)	Docket No.:	942757-278580
)		
Applicant:)	Examiner:	Lindsay M.
Stuart A. Kauffman et al.)		MaGuire
)		
Application No.:)	Art Group:	3692
09/868,981)		
)		
Filing Date:)	Confirmation No.:	6805
June 25, 2002)		
)		
Title:)	Customer No.:	24239
A SYSTEM AND METHOD FOR THE)		
ANALYSIS AND PREDICTION OF)		
ECONOMIC MARKETS)		

REQUEST FOR REFUND IN U.S. PATENT APPLICATION NO. 09/868,981

Mail Stop 16
Attention: Refund Branch
Director of the US Patent & Trademark Office
PO Box 1450
Alexandria, VA 22313-1450

Sir/Madam:

It recently came to our attention that the USPTO made a withdrawal of \$2,200.00 from Deposit Account 13-4365 in the name of Moore & Van Allen PLLC for independent claim fees for the above-identified application.

An Amendment under 37 C.F.R. § 1.121 for the subject application was electronically filed on November 21, 2008, including the original 100 claims, 18 of which are independent and all having been previously paid for at the time of filing on June 25, 2002. Copies of the fee worksheets from June 25, 2002, and November 21, 2008, are attached for review.

It is believed that the fee calculation sheet completed by the Patent Office following the amendment filed on November 21, 2008, contains a clerical error. The fee calculation sheet indicates that only 8 independent claims have been previously paid for when, in fact, all 18 independent claims were paid for

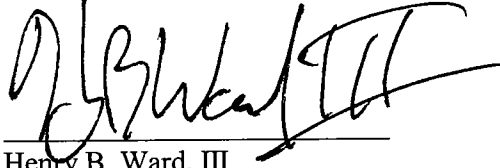
on June 25, 2002. A copy of the fee calculation sheet from November 21, 2008 is also enclosed for your review.

In light of the above, applicant respectfully requests that the Commissioner refund the erroneously charged \$2,200.00 to our Deposit Account No. 13-4365 in the name of Moore & Van Allen PLLC.

If any other issues remain outstanding or if further documentation is required, the Office is respectfully requested to contact the undersigned at 704-331-1027, so that such issues may be promptly resolved.

Respectfully submitted,

MOORE & VAN ALLEN PLLC

A handwritten signature in black ink, appearing to read 'H. B. Ward, III', written over a horizontal line.

Henry B. Ward, III
Registration No. 42,212
Moore & Van Allen
430 Davis Drive, Suite 500
P.O. Box 13706
Research Triangle Park, NC 27709
Telephone: (704) 331-1027
Facsimile: (704) 339-5800

Date: April 3, 2009

**ELECTRONICALLY FILED USING THE EFS-WEB ELECTRONIC FILING SYSTEM OF THE UNITED STATES
PATENT & TRADEMARK OFFICE ON April 3, 2009.**

PATENT APPLICATION FEE DETERMINATION RECORD

Effective October 1, 2000

Application or Docket Number

09/868 981

CLAIMS AS FILED - PART I

(Column 1) (Column 2)

TOTAL CLAIMS		
FOR	NUMBER FILED	NUMBER EXTRA
TOTAL CHARGEABLE CLAIMS	100 minus 20=	80
INDEPENDENT CLAIMS	18 minus 3=	15
MULTIPLE DEPENDENT CLAIM PRESENT <input type="checkbox"/>		

* If the difference in column 1 is less than zero, enter "0" in column 2

CLAIMS AS AMENDED - PART II

(Column 1) (Column 2) (Column 3)

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	•	Minus	..
Independent	•	Minus	...
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

(Column 1) (Column 2) (Column 3)

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	•	Minus	..
Independent	•	Minus	...
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

(Column 1) (Column 2) (Column 3)

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total	•	Minus	..
Independent	•	Minus	...
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <input type="checkbox"/>			

SMALL ENTITY TYPE ☐

OR OTHER THAN SMALL ENTITY

RATE	FEE
BASIC FEE	
XS 9=	
X40=	
+135=	
TOTAL	

RATE	FEE
BASIC FEE	690
XS18=	1440
X80=	1200
+270=	
TOTAL	3330

SMALL ENTITY

OR

OTHER THAN SMALL ENTITY

RATE	ADDITIONAL FEE
X\$ 9=	
X40=	
+135=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
XS18=	
X80=	
+270=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$ 9=	
X40=	
+135=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
XS18=	
X80=	
+270=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
X\$ 9=	
X40=	
+135=	
TOTAL ADDIT. FEE	

RATE	ADDITIONAL FEE
XS18=	
X80=	
+270=	
TOTAL ADDIT. FEE	

- * If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
- ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20."
- *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3."

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

BEST AVAILABLE COPY

CLAIMS

	AS FILED		AFTER 1st AMENDMENT		AFTER 2nd AMENDMENT	
	IND.	DEP.	IND.	DEP.	IND.	DEP.
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						
27						
28						
29						
30						
31						
32						
33						
34						
35						
36						
37						
38						
39						
40						
41						
42						
43						
44						
45						
46						
47						
48						
49						
50						
TOTAL IND.						
TOTAL DEP.						
TOTAL CLAIMS						

	IND.		DEP.		IND.		DEP.		IND.		DEP.	
	IND.	DEP.	IND.	DEP.	IND.	DEP.	IND.	DEP.	IND.	DEP.	IND.	DEP.
51												
52												
53												
54												
55												
56												
57												
58												
59												
60												
61												
62												
63												
64												
65												
66												
67												
68												
69												
70												
71												
72												
73												
74												
75												
76												
77												
78												
79												
80												
81												
82												
83												
84												
85												
86												
87												
88												
89												
90												
91												
92												
93												
94												
95												
96												
97												
98												
99												
100												
TOTAL IND.												
TOTAL DEP.												
TOTAL CLAIMS												

BEST AVAILABLE COPY

8-28-03
CW

patent application serial no 09/868,981

Department of Commerce
Patent and Trademark Office
fee record

06/27/2001 UEDUVIJE 00000166 161150 09868981

01 FC:956	690.00 CH
02 FC:966	1440.00 CH
03 FC:964	1200.00 CH
04 FC:154	130.00 CH

04/26/2002 MALI11 00000081 161150 09868981

~~01 FC:122~~ ~~130.00 CH~~

PATENT APPLICATION FEE DETERMINATION RECORD
Substitute for Form PTO-875

Filing Date
06/25/2002

☐ To be Mailed

OTHER THAN

(Column 1)

(Column 2)

SMALL ENTITY ☐

OR

SMALL ENTITY

SMALL ENTITY

FOR		NUMBER FILED	NUMBER EXTRA	RATE (\$)		FEE (\$)		OR	RATE (\$)		FEE (\$)	
<input type="checkbox"/>	BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A					N/A			
<input type="checkbox"/>	SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A					N/A			
<input type="checkbox"/>	EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A					N/A			
TOTAL CLAIMS (37 CFR 1.16(i))		minus 20 =	*	X \$	=				X \$	=		
INDEPENDENT CLAIMS (37 CFR 1.16(h))		minus 3 =	*	X \$	=				X \$	=		
<input type="checkbox"/>	APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).										
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))												
* If the difference in column 1 is less than zero, enter "0" in column 2.				TOTAL					TOTAL			

* If the difference in column 1 is less than zero, enter "0" in column 2.

OTHER THAN

(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OR

SMALL ENTITY

AMENDMENT	11/21/2008	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total (37 CFR 1.18(g))	* 100	Minus	** 100	= 0
	Independent (37 CFR 1.18(h))	* 18	Minus	***8	= 10
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))				
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))				

RATE (\$)	ADDITIONAL FEE (\$)		RATE (\$)	ADDITIONAL FEE (\$)
X \$ =		OR	X \$52=	0
X \$ =		OR	X \$220=	2200
		OR		
TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	2200

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

Legal Instrument Examiner:

/TONYA MCBRIDE/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.